

**UNITED STATES HOUSE OF REPRESENTATIVES
CALENDAR YEAR 2012 FINANCIAL DISCLOSURE STATEMENT**

Form A
For use by Members, officers, and employees

Name:

Fred Up ton

Daytime Telephone:

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER

2013 MAY 15 PM 12:34

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U.S. HOUSE OF REPRESENTATIVES (Office Use Only)

Filer Status	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: <u>Michigan</u>	Office or Employee	<input type="checkbox"/> Officer or <input type="checkbox"/> Employee	Employing Office:	Termination Date:
Report Type	<input checked="" type="checkbox"/> Annual (May 15, 2013)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination			

A \$200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$350 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$350 from one source)? If yes, complete and attach Schedule VII.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

IPO—Did you purchase any shares that were allocated as a part of an Initial Public Offering?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

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BLOCK E
Transaction

SP Putnam 210501 Equity Fund A

Indicate if the asset had purchases (P), sales (S) or exchanges (E) exceeding \$1,000 in reporting year.

None	A
\$1 – \$1,000	B
\$1,001 – \$15,000	C
\$15,001 – \$50,000	D
\$50,001 – \$100,000	E
\$100,001 – \$250,000	F
\$250,001 – \$500,000	G
\$500,001 – \$1,000,000	H
\$1,000,001 – \$5,000,000	I
\$5,000,001 – \$25,000,000	J
\$25,000,001 – \$50,000,000	K
Over \$50,000,000	L
Spouse/DC Asset over \$1,000,000*	M
NONE	
DIVIDENDS	
RENT	
INTEREST	
CAPITAL GAINS	
EXCEPTED/BLIND TRUST	
TAX-DEFERRED	
Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	
None	I
\$1 – \$200	II
\$201 – \$1,000	III
\$1,001 – \$2,500	IV
\$2,501 – \$5,000	V
\$5,001 – \$15,000	VI
\$15,001 – \$50,000	VII
\$50,001 – \$100,000	VIII
\$100,001 – \$1,000,000	IX
\$1,000,001 – \$5,000,000	X
Over \$5,000,000	XI
Spouse/DC Income over \$1,000,000*	XII

only a
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asset is
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(partial)
below
exam-

For additional assets and unearned income, use next page.

SCHEDULE III—ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

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BLOCK A		BLOCK B													BLOCK C								BLOCK D												BLOCK E	
Asset and/or Income Source		Year-End Value of Asset													Type of Income								Amount of Income												Transaction	
SP, DC, JT		A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	P, S, E	
		None	\$1 - \$1,000	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Spouse/DC Asset over \$1,000,000*									None	\$1 - \$200	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	\$1,000,001 - \$5,000,000	Over \$5,000,000	Spouse/DC Income over \$1,000,000*		
JT	Whisper Stock																																			
JT	5m 3rd Bank acct																																			
JT	W. Petman Credit Union Acct																																			
JT	Edgewood Bank CD's																																			
JT	JP Morgan checking acct																																			
JT	Hillard Lyons Bank deat																																			
SP	AT&T																																			
SP	Altria																																			
SP	BP PLC																																			
SP	Beam Inc																																			
SP	Bushel Myers Spills																																			
SP	Comcast Class A																																			
JT	Chesapeake Energy																																			
SP	Direct TV																																			
SP	Dow Chemical																																			
SP	Exxon Mobil																																			
SP	Fourstar Brands																																			
SP	General Electric																																			
SP	IBM																																			
SP	Mead Johnson Nutrition																																			
SP	Monsanto																																			

Continuation Sheet (if needed)

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Continuation Sheet (if needed)

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SCHEDULE III—ASSETS AND “UNEARNED” INCOME
Continuation Sheet (if needed)

Name Upston

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BLOCK A		BLOCK B													BLOCK C								BLOCK D												BLOCK E			
Asset and/or Income Source		Year-End Value of Asset													Type of Income								Amount of Income												Transaction			
		A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII				
		None	\$1 - \$1,000	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Spouse/DC Asset over \$1,000,000*									None	\$1 - \$200	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	\$1,000,001 - \$5,000,000	Over \$5,000,000	Spouse/DC Income over \$1,000,000*				
Northern Fear				X																																		
Northern Multi-Sector EITF						X																																
Northern Multi-Sector CLO							X																															
Northern Global/PA/Leasehold							X																															
Primerica Commodity							X	X																														
Northern Future Tax Exempt							X																															
Northern Tax Exempt								X																														
Northern Fixed Income																																						
Northern US Govt							X																															
Cash & TP Mergers Stk/Fund								X																														
Chemical Financial Corp																																						
Fifth Third Bancorp																																						
Whitpool																																						
TP Morgan Acct																																						
Fidelity Investments																																						
Aston Optimum Mid-Cap																																						
AIM ENV Fds R/RK																																						
Artisan Fd/Value Fund																																						
BGH Fd Inc Tax EFFICIENT																																						
Blackrock High Yield Bond																																						
Primerica DB Commodity Index																																						

SCHEDULE III—ASSETS AND “UNEARNED” INCOME

Name Upton

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Continuation Sheet (if needed)

BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset													BLOCK C Type of Income	BLOCK D Amount of Income												BLOCK E Transaction
	A	B	C	D	E	F	G	H	I	J	K	L	M		I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	
	None	\$1 – \$1,000	\$1,001 – \$15,000	\$15,001 – \$50,000	\$50,001 – \$100,000	\$100,001 – \$250,000	\$250,001 – \$500,000	\$500,001 – \$1,000,000	\$1,000,001 – \$5,000,000	\$5,000,001 – \$25,000,000	\$25,000,001 – \$50,000,000	Over \$50,000,000	Spouse/DC Asset over \$1,000,000*		None	\$1 – \$200	\$201 – \$1,000	\$1,001 – \$2,500	\$2,501 – \$5,000	\$5,001 – \$15,000	\$15,001 – \$50,000	\$50,001 – \$100,000	\$100,001 – \$1,000,000	\$1,000,001 – \$5,000,000	Over \$5,000,000	Spouse/DC Income over \$1,000,000*	
Dodge Fund FDS TR TTL				X																							
Profits Level Fund Mkt				X																							
Islands MSCI EAFE Indx			X																								
Dodge Div Int.				X																							
Edgewood Growth Fund				X																							
Edge Vance Floating Rd					X																						
Edge Vance Mkt FDS TR				X																							
Manning & Napier Equity			X																								
Manning & Napier World Opp.				X																							
SPDR Gold Trust			X																								
Artway Fund - Y				X																							
Islands Cohen & Steers Mkt				X																							
Islands Core S&P Midcap			X																								
Islands Russell Midcap Divd			X																								
Tru Large Cap Growth				X																							
TPM Int Comm Divd				X																							
TPM EM Mkt Equity Fd				X																							
TPM STR Inc Off Fd				X																							
TPM US Equity Fd				X																							
TPM Int Value			X																								

Continuation Sheet (if needed)

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SCHEDULE III—ASSETS AND "UNEARNED" INCOME

Name Upton

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Continuation Sheet (if needed)

BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset													BLOCK C Type of Income	BLOCK D Amount of Income												BLOCK E Transaction
	A	B	C	D	E	F	G	H	I	J	K	L	M		I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	
	None	\$1 - \$1,000	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Spouse/DC Asset over \$1,000,000*		None	\$1 - \$200	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	\$1,000,001 - \$5,000,000	Over \$5,000,000	Spouse/DC Income over \$1,000,000*	
GE																											
Int'l Corp																											
Coca Cola																											
Walt Foods																											
Loews																											
Yonkers Entertainment																											
3-M																											
Altria																											
Microsoft																											
Oscar de la Renta																											
Philip Morris																											
Starbucks																											
Time Warner																											
Wells Fargo																											
Yum Brands																											
BNP Paribas EQ 5/15/13																											
BNP Paribas One MSET																											
BNP Paribas SPX																											
BNP Paribas BFT EQ SPX																											
BNP Paribas Leveraged EQ SPX																											
BNP Paribas LEAF																											

SCHEDULE III—ASSETS AND "UNEARNED" INCOME

Name W. J. Brown

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BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset													BLOCK C Type of Income	BLOCK D Amount of Income												BLOCK E Transaction
	A	B	C	D	E	F	G	H	I	J	K	L	M		I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	
	None	\$1 - \$1,000	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Spouse/DC Asset over \$1,000,000*		None	\$1 - \$200	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	\$1,000,001 - \$5,000,000	Over \$5,000,000	Spouse/DC Income over \$1,000,000*	
BARC BAEN AAA Bklt			X																								
BARC BAEN SOX			X																								
BARC BAEN Q/L no k			X																								
BARC 93% PNU Currency			X																								
BARC BAEN Commod. Bkt			X																								
BARC Mkt Pks SXSE			X																								
CS EAFE BREN			X																								
CS BAEN Asia Bklt 3/13			X																								
CS BAEN Asia Bklt 3/13			X																								
CS BAEN Asia Bklt 3/13			X																								
CS BAEN EAFE			X																								
CS Asia Bklt Asia 3/13			X																								
DB 95% PNU FX Bkt. 3/13				X																							
DB Mkt Pks SXSE			X																								
CS BREN EAFE			X																								
CS BREN EAFE			X																								
CS CONT Bklt EGA SOX			X																								
CS BREN SOX			X																								
CS BREN EAFE			X																								
CS CONT Bklt EGA SOX			X																								
CS Mkt Pks SOX			X																								
CS BREN EAFE 12/13			X																								

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Name Lee Joon Page 13 of 14

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

[illegible]

SCHEDULE VIII—POSITIONS

Name

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Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Name of Organization
<i>Limited Partner</i>	<i>SEC Capital Limited Partnership Capital Asset Mgt Corp is</i>
<i>Board Member</i>	<i>Gen Partner of SEC Limited Partnership</i>
<i>Advisory Bd. Member</i>	<i>S. W. Michigan First Agreen Institute</i>

SCHEDULE IX—AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

None